

FORM PTO-1390 MODIFIED	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER 3926-19
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) 10/520818 unknown
INTERNATIONAL APPLICATION NO. PCT/US2003/021337	INTERNATIONAL FILING DATE 8 July 2003	PRIORITY DATE CLAIMED 9 July 2002


TITLE OF INVENTION
HETERODYNE OPTICAL SPECTRUM ANALYZER

APPLICANT(S) FOR DO/EO/US
FROGGATT et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
 2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
 3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f). The submission must include items (5), (6), (9) and (21) indicated below.
 4. ☐ The U.S. has been elected (Article 31).
 5. A copy of the International Application as filed (35 U.S.C. 371(c)(2).
 - a. ☒ is attached hereto (55 pages specification, claims & abstract (47 claims), 12 sheets drawings).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
 6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(3)
 - a. ☐ is attached hereto (pages specification, claims & abstract (claims), sheets drawings, page Certificate of Translation).
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
 7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has **NOT** expired.
 - d. ☐ have not been made and will not be made.
 8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3).
 9.
 - a. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4).
 - b. ☐ Declaration was submitted to the International Bureau during International Phase (see copies of Declaration (page Form PCT/RO/101 and Form PCT/IB/371 and first page of printed publication acknowledging receipt thereof attached).
 10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5).
- Items 11 To 20 below concern document(s) or information included:**
11. ☒ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.
 12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
 13.
 - a. ☒ A FIRST preliminary amendment.
 - b. ☐ A SECOND or SUBSEQUENT preliminary amendment.
 14. ☐ An Application Data Sheet under 37 C.F.R. § 1.76.
 15. ☐ A substitute specification.
 16. ☐ A change of power of attorney and/or address letter.
 17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825.
 18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
 19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
 20. ☒ Other items or information. Form PCT/IB/308

DT12 Rec'd PCT/PTO 07 JAN 2005

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.51) unknown		INTERNATIONAL APPLICATION NO. PCT/US2003/021337		ATTORNEY'S DOCKET NUMBER 3926-19	
21. <input checked="" type="checkbox"/> The following fees are submitted:					
BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5)):					
<input checked="" type="checkbox"/> a) Basic national fee				\$300.00 (1631)/\$150.00 (2631)	\$ 150.00
<input checked="" type="checkbox"/> b) Examination Fee				\$200.00 (1633)/\$100.00 (2633)	\$ 100.00
<input checked="" type="checkbox"/> c) Search Fee				\$500.00 (1632)/\$250.00 (2632)	\$ 250.00
TOTAL OF ABOVE CALCULATIONS				\$1000.00/\$500.00	\$ 500.00
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)		RATE	
67	-100	0 /50 = 0.00		\$0.00 (1681)	
				\$0.00 (2681)	
Surcharge of \$130.00 (1617)/\$65.00 (2617) for furnishing the oath or declaration later than <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)).					
\$ 65.00					
CLAIMS	NUMBER FILED	# EXTRA	RATE		
Total Claims	47	minus 20 =	27 X	\$50.00 (1615)/	\$25.00 (2615)
Independent Claims	8	minus 3 =	5 X	\$200.00 (1614)	\$100.00 (2614)
MULTIPLE DEPENDENT CLAIMS(S) (if applicable)				\$360.00 (1616)/\$180.00 (2616)	
Petition is hereby made to extend the current due date so as to cover the filing date of this paper and attachment(s): One Month Extension \$120.00 (1251)/\$60.00 (2251); Two Month Extensions \$450.00 (1252)/\$225.00 (2252); Three Month Extensions \$1020.00 (1253)/\$510.00 (2253); Four Month Extensions \$1590.00 (1254)/\$795.00 (2254)				\$ 0.00	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.					
Processing fee of \$130.00 (1618) , for furnishing the English Translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(f)).					
+ 0.00					
TOTAL NATIONAL FEE =					
\$ 1,740.00					
Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 (8021) per property +					
\$ 0.00					
Fee for Petition to Revive Unintentionally Abandoned Application; \$1500.00 (1453) / \$750.00 (2453)					
\$ 0.00					
TOTAL FEES ENCLOSED =					
\$ 1,740.00					
					Amount to be: refunded
					\$
					Charged
					\$
a. <input type="checkbox"/> A check in the amount of \$3350.00 to cover the above fees is enclosed.					
b. <input type="checkbox"/> Please charge my Deposit Account No. 14-1140 in the amount of \$_____ to cover the above fees. A duplicate copy of this form is enclosed.					
c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>14-1140</u> . A duplicate copy of this form is enclosed.					
d. <input checked="" type="checkbox"/> CREDIT CARD PAYMENT FORM ATTACHED.					
e. <input checked="" type="checkbox"/> The entire content of International Application No. PCT/US2003/021337 and any U.S. and foreign application(s) corresponding thereto, and US 60/394,261, referred to in this application is/are hereby incorporated by reference in this application.					
NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b) must be filed and granted to restore the application to pending status.					
CORRESPONDENCE ADDRESS					
Direct all correspondence to:					
<input checked="" type="checkbox"/> Customer Number: 23117					
<small>Type Customer Number here</small>					
Telephone: (703) 816-4000					
JRL:alb					
 John R. Lastova NAME					
33,149 REGISTRATION NUMBER					
January 7, 2005 Date					